



Tompkins Shared Services Electronic Records Repository

Tompkins County Clerk • 320 N. Tioga Street • Ithaca, NY 14850 • (607)274-5432 • Fax (607)274-5445

Shared Data Systems Policy and Procedures

March 2015

This manual is intended both to provide guidance and serve as a reference to users of all data generated, accessed, transmitted or stored on systems and networks managed or hosted by Tompkins County. It is the responsibility of each user to comply with the policies and procedures set forth within this publication.

It is understood that the records management of electronic public information is dynamic, and that it is impossible to anticipate every circumstance that may confront a TSSERR member. In situations that are not addressed within these policies, users are expected to respond and act in a way that ultimately reflects Tompkins County, and/or their respective agency's, mission statement and priorities.

Policies and procedures exist to maintain high levels of professional conduct, data integrity and overall records security. Therefore, conduct that deviates from these written standards will first be reviewed to determine if the situation required a deviation from stated policy, and will then be reviewed to determine whether the actions taken were appropriate, given the actual situation. Finally, the policies written for information transmitted or stored on systems and networks managed or hosted by Tompkins County are only a part of the direction provided to users. Written communication that is directive in nature from individual municipality supervisory or management personnel that is specific to the management of records or business processes unique to each TSSERR member has the same authority as any policy.



Tompkins Shared Services Electronic Records Repository

Tompkins County Clerk • 320 N. Tioga Street • Ithaca, NY 14850 • (607) 274-5432 • Fax (607) 274-5445

POLICY/PROCEDURE #: TSSERR14-01	TITLE: Adoption of Tompkins Shared Services Electronic Records Repository Policy and Procedures
EFFECTIVE DATE: 00/00/2015	
NEXT SCHEDULED REVIEW: 00/00/2016	REFERENCES: Tompkins County Resolution #RES-2013-161 TSSERR By Laws, Adopted 10/01/2013 TSSERR Agreement, Adopted 10/01/2013
MODIFIED DATE:	

Objective:

To create a process for establishing new policy and procedures; modifying existing policy and procedures; and periodically reviewing and updating policies and procedures associated with the duties, powers and responsibilities defined by the Bylaws and User Group Agreement for the Tompkins Shared Services Electronic Records Repository (TSSERR) group as approved, and originally granted authority by, the Tompkins County Resolution #RES-2013-161.

Policy Statement:

It is the policy of TSSERR to have a manual of policies and administrative procedures that govern the shared responsibilities of technology systems and related data, and to have a process for keeping the TSSERR Policy Manual up to date.

General Information:

TSSERR is responsible for coordinating and tracking additions or revisions to the TSSERR Policy Manual according to the steps outlined in the procedures section below. These steps have been established to ensure that introduced policies and procedures are initiated, reviewed or updated and implemented, based on the following criteria:

1. The need for a new policy and/or procedure has been identified;
2. A change in federal, state, or local law or requirements has affected existing policy/procedure;
3. A change due to labor contract negotiations or personnel management has affected existing policy/procedure;
4. The policy/procedure has not been reviewed within the past year. (Refer to the "next scheduled review date" included in the heading of the policy/procedure description.)
5. The policy/procedure in question no longer reflects actual practice, or inadequately addresses changed conditions. Any member of TSSERR can initiate requests for additions, updates, or modifications to the TSSERR Policy Manual at any point in time. However, all requests must be submitted via the TSSERR Policy Manual Change Request Form and submitted to the TSSERR Administrative Support Staff for processing and tracking. TSSERR approval is required for new policies/procedures or modifications to existing policies/procedures to ensure consistency and accuracy.

6. Approval of new, or the modification of previously adopted TSSERR Policy and Procedures, shall follow the voting procedures as established in the TSSERR By-Laws.

Definitions:

Policy - A statement of intention to guide political, management, financial, or administrative decisions and achieve rational outcome(s). TSSERR approval is required for new policies or modifications to existing policies.

Procedure - A prescribed and documented set of steps, actions, or activities generally needed to obtain consistent results as documented within a defined and approved TSSERR policy.

Requesting Member - TSSERR Member municipality initiating the new or modified TSSERR Policy.

Administrative Support Staff - The department or division within the County organizational structure responsible for assisting in preparation, and dissemination of, new or updated TSSERR policies or procedures, and for routinely reviewing adopted policies or procedures associated with TSSERR.

TSSERR Policy Manual Change Request Form – To be completed by Requesting Member and forwarded to TSSERR Administrative Support Staff for process and tracking.

TSSERR Policy Manual Impact Review Form - To be completed by TSSERR Members and forwarded to TSSERR Administrative Support Staff for process and tracking.

Procedure:

TSSERR approval is required for new policies or for modifications to existing policy. The following steps are required for introducing new policy or for updating/revising existing policy:

Step 1. The TSSERR Requesting Member completes a TSSERR Policy Manual Change Request Form and submits the suggested modification to the TSSERR Administrative Support Staff for processing and tracking.

Step 2. The TSSERR Administrative Support Staff will forward the proposed new or revised policy to all TSSERR members for review. Members will review and submit recommended changes or comments, via the TSSERR Policy Impact Review Form, to the TSSERR Administrative Support Staff for tracking and dissemination. Members will have 15 days from date of dissemination to submit the TSSERR Policy Impact Review Form to TSSERR Administrative Support Staff.

Step 3. The TSSERR Administrative Support Staff will prepare a verbatim summary of all recommendations and comments received and will forward the summary to the Requesting Member. The Requesting Member shall be responsible for the preparation of the final draft based on recommended modifications.

Step 4. The Requesting Member will forward the new or revised policy and any supporting documentation to the TSSERR Administrative Support Staff for inclusion on the next TSSERR monthly agenda.

Note: If the new or revised policy is not approved, Steps 2-4, or a combination of these, may be repeated until either the policy is approved or tabled for consideration at a later date.

Step 5. TSSERR Administrative Support Staff will track all results, notify all TSSERR members, and make the final changes to the TSSERR Policy Manual.

Step 6. Once adopted, TSSERR Member agencies will be individually responsible for the dissemination, communication, training and enforcement process(es) necessary to implement the new or modified TSSERR policy within their own government by the effective date as defined in the policy header.



Tompkins Shared Services Electronic Records Repository

Tompkins County Clerk • 320 N. Tioga Street • Ithaca, NY 14850 • (607) 274-5432 • Fax (607) 274-5445

POLICY/PROCEDURE #:	TITLE:
EFFECTIVE DATE:	
NEXT SCHEDULED REVIEW:	REFERENCES:
MODIFIED DATE:	

Objective:

Policy Statement:

General Information:

Definitions:

Procedure:



Tompkins Shared Services Electronic Records Repository

Tompkins County Clerk • 320 N. Tioga Street • Ithaca, NY 14850 • (607)274-5432 • Fax (607)274-5445

POLICY/PROCEDURE #:	TITLE:
REQUESTOR:	
CHANGE REQUEST DATE:	REFERENCES:
MODIFIED DATE:	

CHANGE REQUEST FORM

COMPLETE A FORM FOR EACH TYPE OF REQUEST

Type of Request (*select all that apply*):

- | | |
|--|---|
| <input type="checkbox"/> New policy | <input type="checkbox"/> New procedure |
| <input type="checkbox"/> Revision to existing policy | <input type="checkbox"/> Revision to existing procedure |

Description of Change Request (*Sections I and II must be completed*):

Section I: Briefly Explain the Recommended Change: (Identify sections and paragraphs if changing existing policy or procedure)
Section II: Explain the reason for the suggested text
General Comments: (<i>Optional</i>):



Tompkins Shared Services Electronic Records Repository

Tompkins County Clerk • 320 N. Tioga Street • Ithaca, NY 14850 • (607)274-5432 • Fax (607)274-5445

POLICY IMPACT REVIEW FORM

Section I: How will this new policy impact your work or operation?

Section II: What new or revised language are you recommending?

Section III: What impact will this new/revised policy or procedure have on other existing policy or procedure?

Section IV: General Comments or Questions: *(Optional)*:



Tompkins Shared Services Electronic Records Repository

Tompkins County Clerk • 320 N. Tioga Street • Ithaca, NY 14850 • (607)274-5432 • Fax (607)274-5445

POLICY/PROCEDURE #: TSSERR 14-02	TITLE: Enforcement and Sanction
EFFECTIVE DATE: 00/00/2015	
NEXT SCHEDULED REVIEW: 00/00/2016	REFERENCES: Tompkins County Resolution #RES-2013-161 TSSERR By Laws, Adopted 10/01/2013 TSSERR Agreement, Adopted 10/01/2013
MODIFIED DATE:	

Objective:

It is the responsibility of each TSSERR member to ensure all members of its workforce comply with the policies formally adopted by TSSERR by applying remedial measures and sanctions appropriate for the breach of policy.

Policy Statement:

Each TSSERR member will define and implement appropriate actions for any violation of TSSERR policy or procedure. In addition, each TSSERR member agrees to uphold specific sanctions when defined by individual TSSERR policy.

TSSERR will immediately investigate any security incidents or violations and mitigate, to the greatest extent possible, any negative effects that may result from the incident.

TSSERR member will not intimidate or retaliate against any other TSSERR member or individual that reports an incident.

General Information:

This policy applies to all TSSERR members including, but not limited to full-time employees, part-time employees, trainees, volunteers, contractors, elected officials and temporary workers.

Definitions:

Policy - A statement of intention to guide political, management, financial, or administrative decisions and achieve rational outcome(s). TSSERR approval is required for new policies or modifications to existing policies.

Procedure - A prescribed and documented set of steps, actions, or activities generally needed to obtain consistent results as documented within a defined and approved TSSERR policy.

Procedure:

Failure to comply with adopted TSSERR Policies will be brought to review at the next scheduled TSSERR meeting. Any compliance failure that includes possible security incidents or violation may result in immediate suspension of the involved user(s) privileges by Tompkins County until review by TSSERR.



Tompkins Shared Services Electronic Records Repository

Tompkins County Clerk • 320 N. Tioga Street • Ithaca, NY 14850 • (607) 274-5432 • Fax (607) 274-5445

POLICY/PROCEDURE #: TSSERR 14-03	TITLE: Data Standards – Laserfiche
EFFECTIVE DATE: 00/00/2015	
NEXT SCHEDULED REVIEW: 00/00/2016	REFERENCES: Tompkins Shared Services Electronic Records Repository – Laserfiche Standards
MODIFIED DATE:	

Objective:

The purpose of this policy is for the Data Custodian to define the appropriate standards for information entered, stored or managed into the Laserfiche Electronic Document Management System.

Policy Statement:

All members entering, storing or managing information in the Laserfiche Electronic Document Management System are responsible for protecting the integrity of this information.

General Information:

Electronic Document Management is defined as the process and standards governing the structure of information entered, stored or managed into an application. This policy applies to all members that enter information into Laserfiche, including, but not limited to full-time employees, part-time employees, trainees, volunteers, contractors, elected officials and temporary workers.

Definitions:

Policy - A statement of intention to guide political, management, financial, or administrative decisions and achieve rational outcome(s). TSSERR approval is required for new policies or modifications to existing policies.

Procedure - A prescribed and documented set of steps, actions, or activities generally needed to obtain consistent results as documented within a defined and approved TSSERR policy.

Data Custodian – Individual or agency responsible for maintaining hosted systems, hardware, software and applications which support TSSERR services. For the purposes of this policy, Tompkins County is considered the data custodian.

Procedure:

Due to the various agencies entering data into the Laserfiche system, standards must be defined by the Data Custodian in compliance with Tompkins County, TSSERR, and local, state, and federal governmental procedures and regulations regarding the structure and integrity of locally maintained Laserfiche data.

1. The Data Custodian will define and document the standards for entering, storing or managing information in the Laserfiche Electronic Document Management System through the use of the Tompkins Shared Services Electronic Records Repository – Laserfiche Standards document.